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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: CHIU ET AL. Examiner: UNKNOWN  
Serial No.: 10/623,215 Group Art Unit: 2817  
Filed: JULY 18, 2003 Docket: 7780.840US01  
Title: MICRORING RESONATOR AND METHOD FOR MANUFACTURING

**CERTIFICATE UNDER 37 CFR 1.8:**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on May 14, 2004.

By: \_\_\_\_\_  
Name: David G. Schmaltz

**23552**  
PATENT TRADEMARK OFFICE

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:

- Transmittal Sheet in duplicate containing Certificate of Mailing
- Information Disclosure Statement, Form 1449, 5 Reference(s)
- Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers or any future reply, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
612.332.5300

By: David G. Schmaltz  
Name: David G. Schmaltz  
Reg. No.: 39,828  
DSchmaltz:PLStov



N 10/623,215

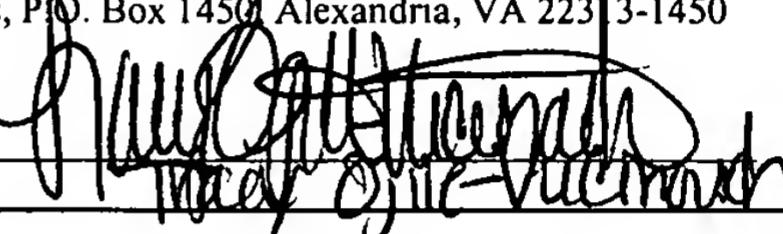
PATENT

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Name: May 14, 2004

INFORMATION DISCLOSURE STATEMENT (37 C.F.R. § 1.97(b))

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

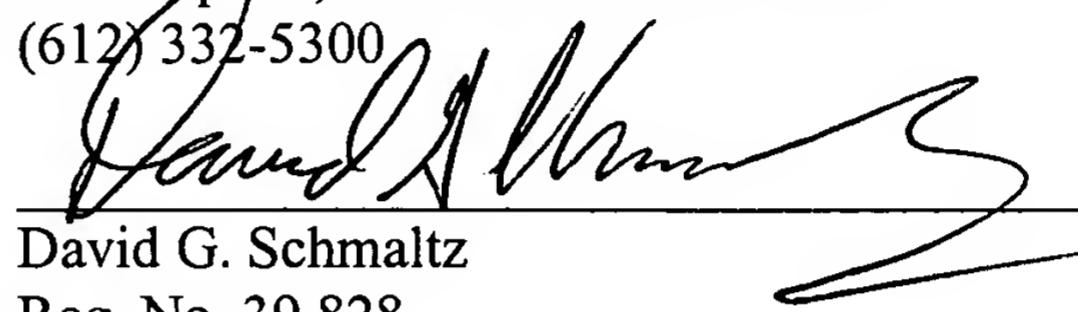
Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked

as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please charge any additional fees or credit any overpayment to Deposit Account No. 13-2725.

Respectfully submitted,

MERCHANT & GOULD P.C.  
P.O. Box 2903  
Minneapolis, Minnesota 55402-0903  
(612) 332-5300

  
David G. Schmaltz  
Reg. No. 39,828  
DGS:PLStov

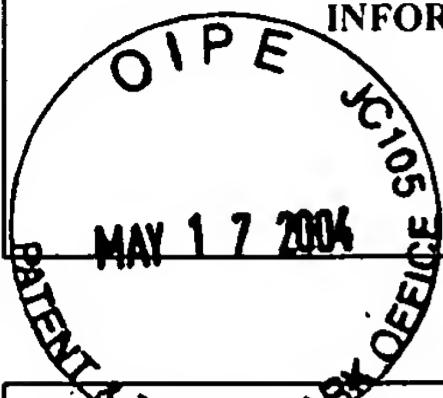
Date: 5/14/04



Date Mailed: May 14, 2004

Sheet 1 of 1

<b>FORM 1449*</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>IN AN APPLICATION</b> (Use several sheets if necessary)	<b>Docket Number:</b> <b>7780.840US01</b>	<b>Application Number:</b> <b>10/623,215</b>
	<b>Applicant: CHIU ET AL.</b>	
	<b>Filing Date: 07/18/2003</b>	<b>Group Art Unit: 2817</b>



## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)

		Cai, M. et al., "5-Gbit/s BER Performance on an All Fiber-Optic Add/Drop Device Based on a Taper-Resonator-Taper Structure," <i>IEEE Photonics Technology Letters</i> , Vol. 12, No. 9, pp. 1177-1179 (September 2000)
		Chin, M. K. et al., "Design and Modeling of Waveguide-Coupled Single-Mode Microring Resonators," <i>Journal of Lightwave Technology</i> , Vol. 16, No. 8, pp. 1433-1446 (August 1998)
		Little, B. E. et al., "Microring Resonator Channel Dropping Filters," <i>Journal of Lightwave Technology</i> , Vol. 15, No. 6, pp. 998-1005 (June 1997)
		Little, B. E. et al., "Ultra-Compact Si-SiO <sub>2</sub> Microring Resonator Optical Channel Dropping Filters," <i>IEEE Photonics Technology Letters</i> , Vol. 10, No. 4, pp. 549-551 (April 1998)
		Rafizadeh, D. et al., "Waveguide-coupled AlGaAs/GaAs microcavity ring and disk resonators with high finesse and 21.6-nm free spectral range," <i>Optics Letter</i> , Vol. 22, No. 16, pp. 1244-1246 (August 15, 1997)

23552

**PATENT TRADEMARK OFFICE**

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.